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Christine Rounds  
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Christine Rounds May 18, 2004  
Signature Date

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In the Application of ) Examiner: R. Spitzer  
He Huang, et al. )  
Title: SYSTEM AND METHOD FOR ) Group Art Unit: 3746  
THERMAL MANAGEMENT )  
Serial No.: 10/657,299 )  
Filed on: September 8, 2003 ) (Docket No. 3309R-0149)

Hartford, Connecticut, May 18, 2004

Mail Stop Amendment  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**INFORMATION DISCLOSURE STATEMENT**

Applicant(s) submits herewith Form PTO-1449 identifying patents, publications or other information of which they are aware, which they believe may be material to the examination of this application and in respect of which there may be a duty to disclose.

The filing of this Information Disclosure Statement shall not be construed as a representation that a search has been made (37 CFR 1.97(g)), an admission that the information cited is, or is considered to be, material to patentability, or that no other material information exists.

The filing of this Information Disclosure Statement shall not be construed as an admission against interest in any manner. Notice of January 9, 1992, 1135 O.G. 13-25, at 25.

Under 37 CFR 1.97 (b)

☒ This Information Disclosure Statement is being filed within three months of the filing date of the application, or the date of entry into the national stage of an international application, or before the mailing date of a first Office Action on the merits, whichever event occurs last.

Application Serial No. 10/657,299  
Docket No. 3309R-149

Under 37 CFR 1.97 (c)

☐ This Information Disclosure Statement is being filed *after* three months of the filing date of this national application, or the date of entry into the national stage as set forth in §1.491 in an international application, or after the mailing date of the first Office Action on the merits, whichever event occurred last, but *before* the mailing date of either a final action under §1.113 or a notice of allowance under §1.311, whichever occurs first.

- ☐ A certification as specified in 37 CFR 1.97(e) is set forth below, or  
☐ Fee as set forth in 37 CFR 1.17(p) (\$180.00).

Under 37 CFR 1.97(d)

☐ This Information Disclosure Statement is being filed *after* a final action under §1.113 or a notice of allowance under §1.311, whichever occurs first, but before, or simultaneously with, the payment of the issue fee. Applicant hereby petitions for the consideration of this Information Disclosure Statement, 37 CFR 1.97(d)(ii). A certification as specified in 37 CFR 1.97(e) is set forth below.

- ☐ A certification as specified in 37 CFR 1.97(e) is set forth below, and  
☐ Fee as set forth in 37 CFR 1.17(p) (\$180.00)

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**CERTIFICATION (37 CFR 1.97(e))**

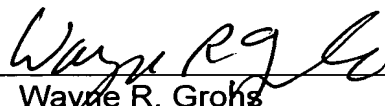
☐ Each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Statement. A copy of the relevant search report is enclosed herewith.

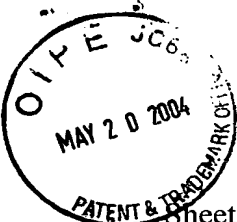
☐ No item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing this certification after making reasonable inquiry, no item of information contained in the Information Disclosure Statement was known to any individual designated in §1.56(c) more than three months prior to the filing of this Statement.

Applicants respectfully request that any deficiencies in the fees be charged to Deposit Account No. 13-0235.

Respectfully submitted,

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**FORM PTO-1449**  
**INFORMATION DISCLOSURE STATEMENT BY APPLICANT(S)**

Docket No.:	3309R-0149	U.S. Serial No.:	10/657,299
Applicant:	He Huang, et al.	U.S. Filing Date:	September 8, 2003
Title:	SYSTEM AND METHOD FOR THERMAL MANAGEMENT	Group Art Unit:	3746

**U.S. PATENT DOCUMENTS**

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EXAMINER

DATE CONSIDERED

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**EXAMINER:**

Initial if citation considered, whether or not citation is in  
conformance with MPEP 609. Draw line through citation if  
not in conformance and not considered. Include copy of this  
form with next communication to applicant(s).